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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/682,713	10/09/2001	R. Mukund	17652-00012	3251

23465 7590 12/07/2005

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EXAMINER

OUELLETTE, JONATHAN P

ART UNIT	PAPER NUMBER
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3629

DATE MAILED: 12/07/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/682,713

Applicant(s)

MUKUND, R.

Examiner

Jonathan Ouellette

Art Unit

3629

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 09 October 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-40 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-40 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date 20011212.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. **Claims 1-40** are rejected under 35 U.S.C. 102(e) as being anticipated by Ryan et al.

(US 2003/0055669 A1).

3. As per independent Claims 1 and 17, Ryan discloses a method for managing, storing, and disseminating compliance assurance (CA) information using a web-based system including a server system coupled to a centralized interactive database and at least one client system (Para 0059), said method comprising: receiving CA information from a client system (Para 0022); storing CA information into a centralized database (Para 0024-0026), cross-referencing CA information (Para 0037); updating the centralized database periodically to maintain CA information, providing CA information in response to an inquiry (Para 0030-0033, Para 0042, Reports); and notifying users electronically of CA tasks and CA deadlines (Para 0052).
4. As per Claims 2 and 23, Ryan discloses wherein receiving CA information comprises receiving at least one of business information, organizational information, site

information, assigned contact person information, COE/department information, building information, *CA audit tracking information*, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information.

5. As per Claim 3, Ryan discloses wherein cross-referencing CA information further comprises compiling a user schedule using CA information regarding tasks being performed.
6. As per Claims 4 and 25, Ryan discloses wherein cross-referencing CA information further comprises creating a user CA calendar based on at least one of previously created user CA calendars and changes in CA audit tracking information.
7. As per Claim 5, Ryan discloses wherein providing CA information comprises: displaying information to a user identifying at least one of a site location and a CA task to be performed at a site location, and receiving an inquiry from the client system regarding at least one of a site location and a CA task to be performed at a site location.
8. As per Claim 6, Ryan discloses wherein providing CA information comprises: displaying information on the client system regarding at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information, and receiving an inquiry from the client system regarding at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information.

9. As per Claim 7, Ryan discloses wherein providing CA information comprises accessing the centralized database, searching the database regarding the specific inquiry, retrieving information from the database, and transmitting the retrieved information to the client system for display by the client system.
10. As per Claim 8, Ryan discloses wherein providing CA information comprises providing at least one of business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information.
11. As per Claims 9 and 26, Ryan discloses wherein notifying users comprises transmitting an electronic message to the client system from the server system notifying at least one of the user of a CA task to be performed and the client system of a CA audit tracking task to be performed.
12. As per Claim 18, Ryan discloses wherein said client system further comprises at least one of a displaying component for displaying at least one of a pull-down list, a check box, and hypertext link options relating to CA audit tracking information and CA scheduling information, a sending component to send an inquiry to the server system so that the server system can process and download the requested information to the client system, a collection component for collecting CA information from users into the centralized database, a tracking component for tracking CA information, a displaying component for

displaying CA information on at least one site location; a receiving component for receiving an inquiry from the client system regarding at least one of business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information; an accessing component for accessing the centralized database and causing the retrieved information to be displayed on the client system; and a notifying component for electronically notifying users of CA tasks and CA deadlines.

13. As per Claim 19, Ryan discloses wherein said server system further comprises a receiving component for receiving an inquiry to provide information from one of a plurality of users
14. As per Claim 20, Ryan discloses wherein said server system further comprises a processing component for searching and processing received inquiries against the database containing information collected by the collection component, and for cross-referencing at least one of CA calendar information, CA task information, and CA audit tracking information
15. As per Claim 21, Ryan discloses wherein said server system further comprises a retrieving component to retrieve CA information from the database

16. As per Claim 22, Ryan discloses wherein said server system further comprises an information fulfillment component that downloads the requested information after retrieving from the database
17. As per Claim 24, Ryan discloses wherein said server system further comprises at least one of a receiving component that receives information directly through the client system, and a receiving component that receives information in a pre-determined format established for inputting CA information.
18. As per **independent Claims 11 and 27**, Ryan discloses a method for managing, storing, and disseminating compliance assurance (CA) information using a web-based system including a server system coupled to a centralized interactive database, at least one managerial user system, and at least one client system (Para 0059), said method comprising: receiving CA information from a client system (Para 0022), said CA information comprising *at least one of site information, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information*; storing CA information into a centralized database (Para 0024-0026), cross-referencing CA information (Para 0037), updating the centralized database periodically to maintain CA information, providing CA information in response to an inquiry (Para 0030-0033, Para 0042, Reports), notifying users electronically of CA tasks and CA deadlines (Para 0052), and providing an electronic report of the CA audit tracking system and the CA calendar to the managerial user system (Para 0042, Reports).

19. As per Claims 12 and 29, Ryan discloses wherein receiving CA information comprises receiving requested information from the client system relating to certain topics including at least one of environment, health and safety, quality, legal, and corporate compliance.
20. As per Claims 13 and 30, Ryan discloses wherein cross-referencing CA information comprises comparing inputted CA information with the CA audit tool to assure compliance with certain laws, rules, regulations, standards, and policies
21. As per Claims 14 and 31, Ryan discloses wherein notifying users comprises transmitting an electronic message to the client system from the server system notifying the user of the CA tasks to be performed within a time period shown on the CA calendar such that compliance with certain laws, rules, regulations, standards, and policies relating to certain topics including at least environment, health and safety, quality, legal, and corporate compliance is assured.
22. As per Claims 15 and 32, Ryan discloses wherein providing an electronic report comprises transmitting an electronic report to the managerial user system from the server system comprising a summary of the CA tasks performed at a site location for a time period shown on the CA calendar such that managerial oversight of the CA information is facilitated and compliance with certain laws, rules, regulations, standards, and policies relating to certain topics including at least one of environment, health and safety, quality, legal, and corporate compliance is assured.
23. As per Claim 28, Ryan discloses wherein providing CA information comprises displaying option information on the client system regarding at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts

information, and receiving an inquiry from the client system regarding at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information

24. As per **independent Claim 16**, Ryan discloses a method for manipulating CA information using a web-based system including a server system coupled to a centralized interactive database and at least one client system (Para 0059), said method comprising: receiving CA information (Para 0022) comprising at least one of *business information*, organizational information, site information, assigned contact person information, COE/department information, building information, *CA audit tracking information*, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information; storing CA information into a centralized database (Para 0024-0026); cross-referencing CA information (Para 0037) comprising creating a CA calendar based on at least one of CA tasks to be performed (Para 0052), a change in other previously created CA calendars, and a change in CA audit tracking information; updating the centralized database with CA information comprising adding and deleting information so as to revise existing CA information including at least one of CA task information, CA calendar information, and CA audit tracking information; providing CA information comprising at least one of business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information,

CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information, in response to an inquiry, including downloading requested information from the server system and displaying requested information on the client system, the inquiry including utilizing at least one pull-down lists, check boxes, and hypertext links; and notifying users of CA tasks and CA deadlines comprising transmitting an electronic message to the client system from the server system notifying the user of a CA task to be performed (Para 0052).

25. As per **independent Claim 33**, Ryan discloses a computer program embodied on a computer readable medium for managing, storing, and disseminating CA information, said program comprising a code segment that receives CA information and then maintains a database by adding, deleting and updating CA information (Para 0024-0026); generates at least one CA calendar based on said received CA information (Para 0052); manages at least one CA audit tracking system based on said received CA information; provides said CA calendar, said CA audit tracking system, a CA audit tool system, and CA contact information to users (Para 0052); notifies users of CA tasks and CA deadlines (Para 0052); and provides a report of said CA audit tracking system and said CA calendar (Para 0042, Reports, Para 0052).

26. As per Claim 34, discloses a code segment that provides at least one of: an option to filter CA calendars based on at least one of site information, CA task type, assigned contact person, and time frame; an option to filter CA audit tracking system based on at least one

of site information, CA task type, assigned contact person, and time frame; and an option to filter CA audit tool system based on at least one of site information, CA task type, assigned contact person, and time frame

27. As per Claim 35, discloses a code segment that generates a display of at least one of business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information
28. As per Claim 36, Ryan discloses a code segment that accesses said database; a code segment that searches said database in response to an inquiry; a code segment that retrieves information from said database; a code segment that causes retrieved information to be displayed on a client system; a code segment that notifies a user of CA tasks and CA deadlines; and a code segment that causes a report summarizing the CA tasks and the CA deadlines for a site location to be displayed on a managerial user system.
29. As per Claim 37, Ryan discloses a code segment that monitors the security of the system by restricting access to authorized individuals
30. As per Claim 38, Ryan discloses a code segment that cross-references said CA calendar when a CA task is performed

31. As per Claim 39, Ryan discloses a code segment that cross-references said CA calendar to at least one previously created CA calendar when CA information is received.
32. As per Claim 40, Ryan discloses a code segment that cross-references said CA calendar with said CA audit tracking system information.

Conclusion

33. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.
34. The following foreign patent is cited to show the best foreign prior art found by the examiner:

Japanese Pat. No. JP 2001250023 A to James et al.

James discloses a system for scheduling activity schedule to help an individual or organization manage/identify various conforming cases and conforming problems concerning business processes and products.

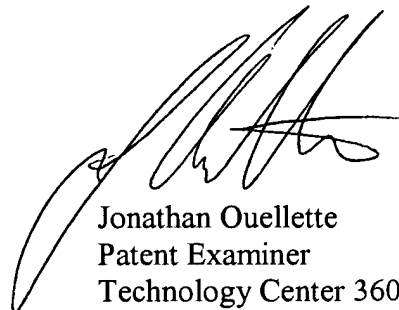
35. The following non-patent literature is cited to show the best non-patent literature prior art found by the examiner:

Rash, Wayne Jr., "Choices in health and safety software," Occupational Health and Safety, v64n10, PP: 68-98, October 1995.

Rash discloses several compliance management systems / software packages.

36. Additional Literature has been referenced on the attached PTO-892 form, and the Examiner suggests the applicant review these documents before submitting any amendments.
37. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jonathan Ouellette whose telephone number is (571) 272-6807. The examiner can normally be reached on Monday through Thursday, 8am - 5:00pm.
38. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (571) 272-6812. The fax phone numbers for the organization where this application or proceeding is assigned (571) 273-8300 for all official communications.
39. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Office of Initial Patent Examination whose telephone number is (703) 308-1202.

November 21, 2005



Jonathan Ouellette
Patent Examiner
Technology Center 3600